

FIG. 1

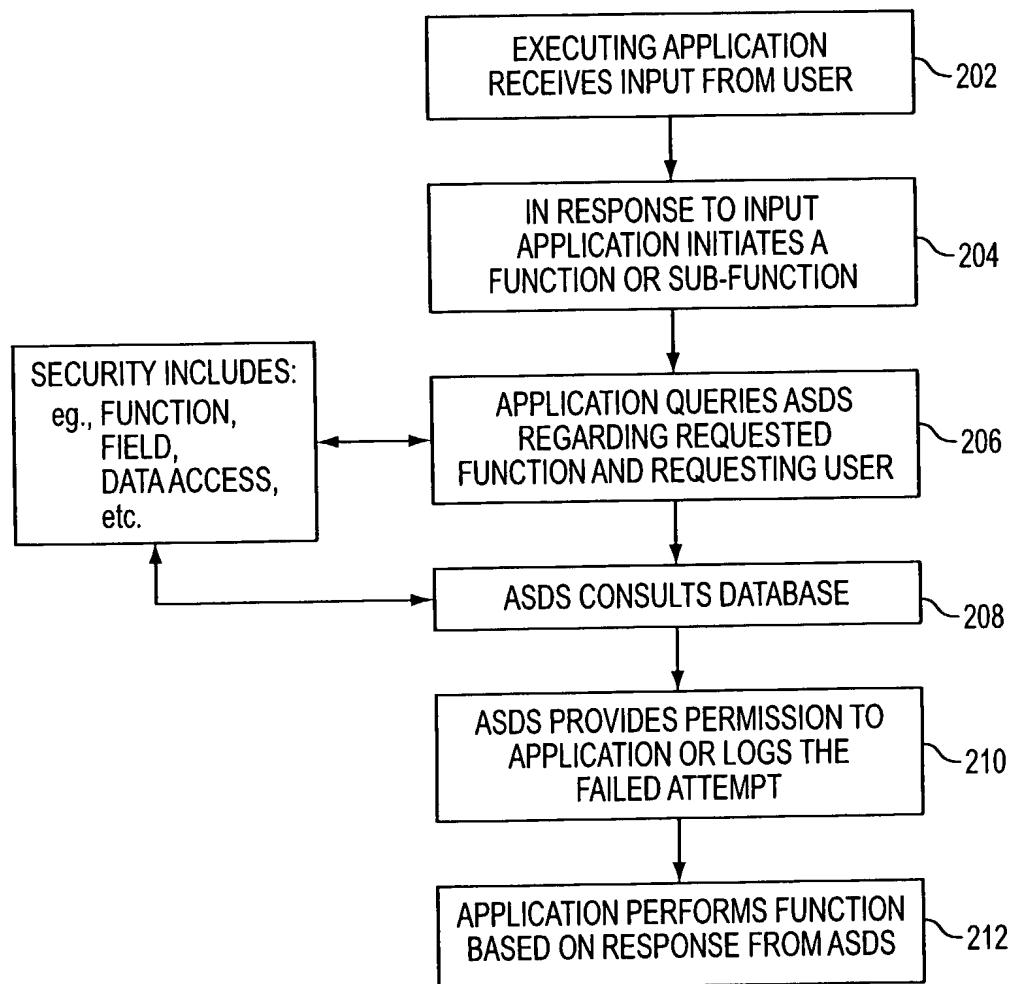


FIG. 2

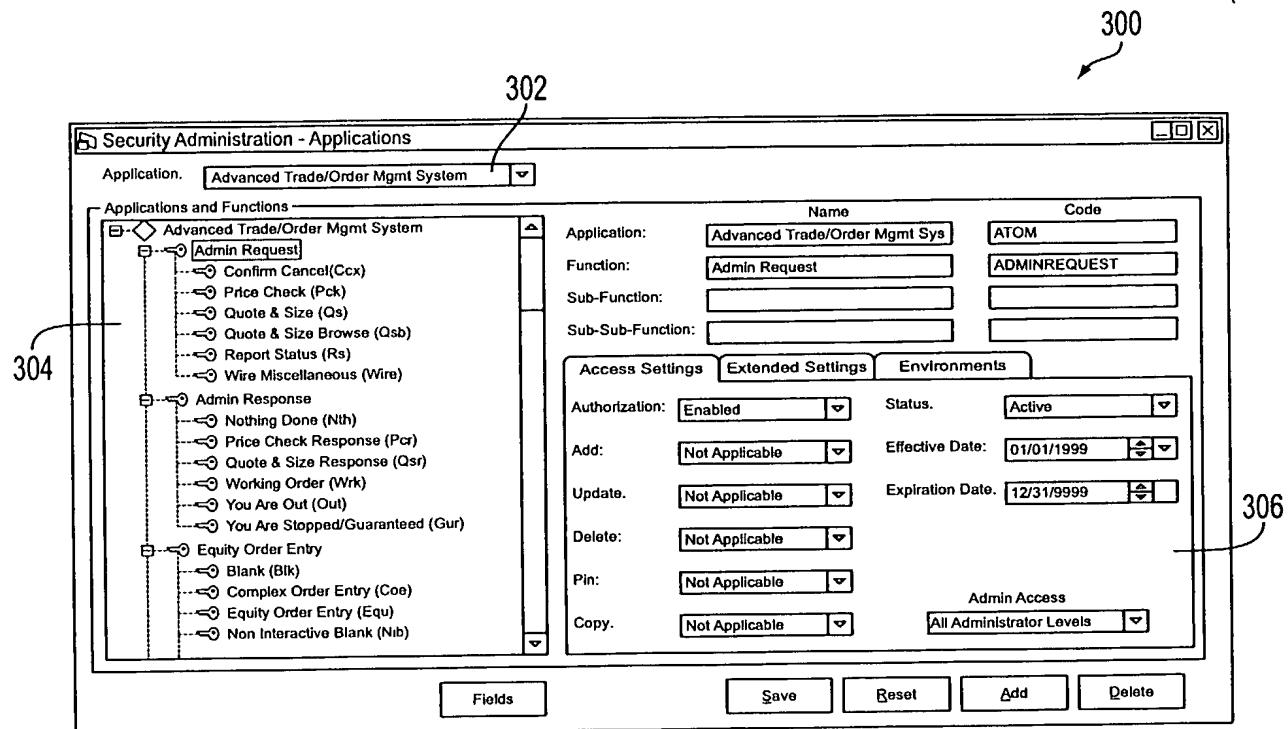


FIG. 3

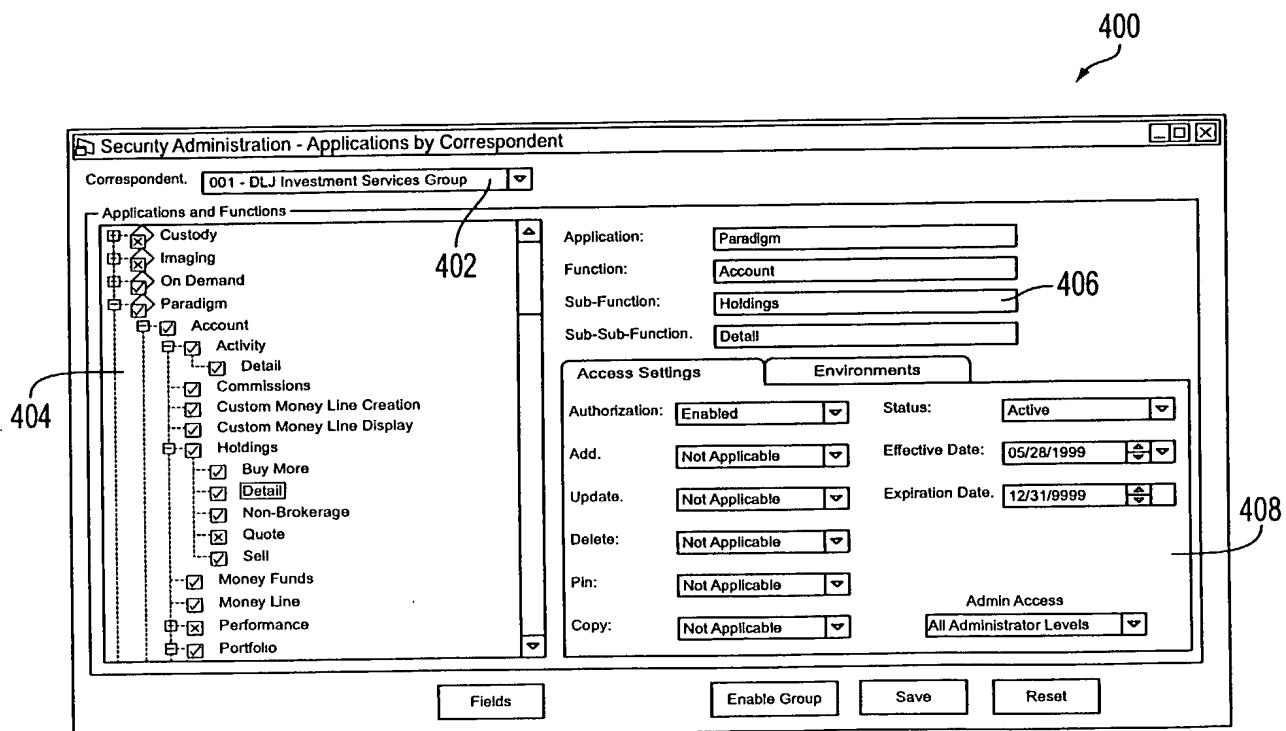


FIG. 4

500

502 504

Security Administration - Applications by Role

Correspondent: 028 - Royal Alliance Associates Inc Role: Branch Manager

Applications and Functions

- On Demand
- On Demand Reports
 - Acm190D0 Acam Bank Activity
 - Csf460M0 Statements
 - Csf461M0 Statements
 - Csf462M0 Statements
 - Csf463M0 Statements
 - Csf464M0 Statements
 - Csf465M0 Statements
 - Csf466M0 Statements
 - Csf467M0 Statements
 - Csf468M0 Statements
 - Csf469M0 Statements
 - Csf470M0 Statements
 - Csf471M0 Statements
 - Csf472M0 Statements
 - Csf473M0 Statements
 - Csf474M0 Statements
 - Csf475M0 Statements
 - Csf476M0 Statements

Application: On Demand
Function: On Demand Reports
Sub-Function: Csf475M0 Statements
Sub-Sub-Function:

Access Settings		Environments	
Authorization:	Enabled	Status:	Active
Add:	Not Applicable	Effective Date:	04/02/2000
Update:	Not Applicable	Expiration Date:	12/31/9999
Delete:	Not Applicable		
Print:	Not Applicable		
Copy:	Not Applicable	Admin Access All Administrator Levels	

Fields Enable Group Save Reset

FIG. 5

600

602 604

Secured Fields

608

	Field Name	Field Code	Type of Field	Authorization	Maintenance Access
1	Alternate Terminal	ALT-TERMINAL	Updatable	Disabled	Not Applicable
2	Exchange Override	EXCHANGE-OVERRIDE	Updatable	Enabled	Not Applicable
3	Mark Up/Down	MARK-UP-DOWN	Updatable	Enabled	Not Applicable
4	Price Discretion	PRICE-DISCRETION	Updatable	Invisible	Not Applicable
5	Sequence Number	SEQ-NUMBER	Updatable	Enabled	Not Applicable

606

602 604

Add Delete Save Reset

FIG. 6

700

Security Administration - Correspondent Roles																																																																																																																																																		
Correspondent: 4ED - Lebenthal & Co Inc																																																																																																																																																		
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702 710 712 704

706

708

FIG. 7

800

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802 804

FIG. 8

09988009 .. 020102

900

902 904

The screenshot shows a Windows application window titled "Security Administration - User Data Access". The window contains a table with 17 rows of user data. The columns are labeled: Data Problem, Correspondent, Office, Req. Rep., Account, Eff. Date, Exp. Date, and Status. The data is as follows:

Data Problem	Correspondent	Office	Req. Rep.	Account	Eff. Date	Exp. Date	Status
1	001	2A1	F74	All	12/11/98	12/31/9999	Active
2	001	2A1	F93	All	12/11/98	12/31/9999	Active
3	001	2A1	K04	All	12/11/98	12/31/9999	Active
4	001	2C1	F74	All	12/11/98	12/31/9999	Active
5	001	2C1	F93	All	12/11/98	12/31/9999	Active
6	001	2C1	K04	All	12/11/98	12/31/9999	Active
7	001	2D1	F74	All	12/11/98	12/31/9999	Active
8	001	2D1	F93	All	12/11/98	12/31/9999	Active
9	001	2D1	K04	All	12/11/98	12/31/9999	Active
10	001	2E1	F74	All	12/11/98	12/31/9999	Active
11	001	2E1	F93	All	12/11/98	12/31/9999	Active
12	001	2E1	K04	All	12/11/98	12/31/9999	Active
13	001	2FE	F74	All	12/11/98	12/31/9999	Active
14	001	2FE	F93	All	12/11/98	12/31/9999	Active
15	001	2FE	K04	All	12/11/98	12/31/9999	Active
16	001	2F1	F74	All	12/11/98	12/31/9999	Active
17	001	2F1	F93	All	12/11/98	12/31/9999	Active

Annotations with callouts:

- A callout labeled "902" points to the first row of the table.
- A callout labeled "904" points to the second row of the table.
- A callout labeled "906" points to the bottom right corner of the table.
- A callout labeled "900" points to the top right corner of the window.

FIG. 9

1000

The screenshot shows a Windows application window titled "Security Administration - User Setup". The left side of the window contains a form for "User Settings" with fields for Correspondent, Userid, First Name, Last Name, Middle Init., PIN, Userid Type, Status, Effective Date, Expiration Date, Set Password, Confirm Password, Departments, and Comments. The right side contains a "List of Users" table with the following data:

User Id	First Name	Last Name	Status
TSOJPAL	James	Palser	Active
TSOJPA1	James	Palser	Active
TSOJPER	J.	De Perna	Active
TSOJPFA	Joseph	Pfaff	Active
TSOJPRU	John	H. Prudden	Active

Annotations with callouts:

- A callout labeled "1000" points to the top right corner of the window.

FIG. 10

1000

Role	Prod	UAT	Dev	Status	Eff. Date	Exp. Da
Associate	✓		✓	Active	3/23/99	12/31/99
Paradigm New Accounts Tester	✓	✓	✓	Active	12/16/99	12/31/99
Paradigm Order Management Tester	✓	✓	✓	Active	1/4/00	12/31/99
Technical Support Associate	✓			Active	2/9/00	12/31/99

FIG. 11

1202

1200

User List by Correspondent

Correspondent: 4MV - American Century Brokerage Inc

UserId:

First Name: Bob

Last Name:

UserId Type:

Department:

Status

- Display All
- Active user only
- Suspended users only

Effective/Expiration Dates

- Display All
- Show users whose IDs are currently effective

Build List

FIG. 12A

099980049 .. 0203102

1250

Security Auditing - Users by Correspondent

Correspondent: 4MV - American Century Brokerage Inc

	Usend	First Name	Middle Initial	Last Name	Effective Date	Expiration Date	Status	Usend Type	Department
1	P4MVB LAY	Bob		Layburn	6/24/99	12/31/9999	Active	User	PERD4MV
2	P4MVOE F	Bob		Oeflinger	10/20/99	12/31/9999	Active	User	PERD4MV
3	P4MVOE 2	Bob		Oeflinger	10/20/99	12/31/9999	Active	User	PERD4MV

Print

FIG. 12B

1300

Security Change History

Provide one or more of the following filters to help narrow the list.

Userid:		From:		Date	Time	
		04/10/2000		00.00.00	00.00.00	
Administrator ID:		To:		04/20/2000	23.59 59	
Correspondent:				Additional Filters		Reset Filters

	Date	Time	Change Category	Change Type	Userid	User Name	Correspondent	Administrat
1	04/20/2000	18:23:42	User Roles	Update	TSOUPER	J. De Perna	PERS	TSOTSSS
2	04/20/2000	18:23:21	User Roles	Update	TSOUPER	J. De Perna	PERS	TSOTSSS
3	04/20/2000	18:16:18	User Roles	Update	TSOUPER	J. De Perna	PERS	TSOTSSS
4	04/18/2000	10:41:44	User Roles	Delete	PARATS60	Top Secret T. Test	PERS	PARASEC
5	04/18/2000	10:41:37	User Roles	Update	PARATS60	Top Secret T. Test	PERS	PARASEC
6	04/18/2000	10:41:27	User Roles	Add	PARATS60	Top Secret T. Test	PERS	PARASEC
7	04/18/2000	10:33:09	User Roles	Delete	PARASEC4	Paradigm Security Admin	PERS	PARASEC
8	04/18/2000	10:31:44	User Roles	Add	PARASEC4	Paradigm Security Admin	PERS	PARASEC
9	04/13/2000	15:24:34	Applications By Role	Update			PERS	TSOTSSS
10	04/13/2000	15:19:10	Applications By Role	Add			PERS	TSOTSSS
11	04/13/2000	15:18:58	Applications By Role	Add			PERS	TSOTSSS
12	04/13/2000	15:18:38	Applications By Correspondent	Add			PERS	TSOTSSS

Details Fields

FIG. 13